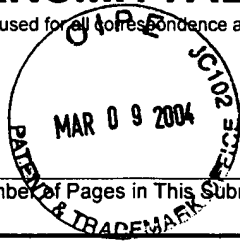


TRANSMITTAL FORM (to be used for all correspondence after initial filing)		Application Number	10/781,404
		Filing Date	02/18/2004
		First Named Inventor	Porter C. Shannon et al.
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission	21	Attorney Docket Number	2003U038.US



ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Preliminary Amendment / Response <input type="checkbox"/> After Final Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Form-1449 <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> 1449 Form <input checked="" type="checkbox"/> Copies of Cited References <input type="checkbox"/> Certified Copy of Priority Documents) <input type="checkbox"/> Response to Missing Part/Incomplete Application <input type="checkbox"/> Response to Missing Parts	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer Two (2) <input type="checkbox"/> Notice to File Corrected Application Papers <input type="checkbox"/> Substitute Specification	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <u>Postcard</u>
REMARKS		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

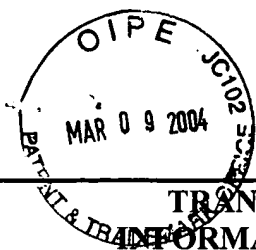
Firm Or Individual name	Kevin M. Faulkner	Registration No.	45,427
Signature	<i>Kevin M. Faulkner</i>		
Date	March 5 2004		

CERTIFICATE OF MAILING

I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Mail Stop Non-Fee Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:

March 5, 2004

Typed or printed name	Tammy L. Hodges	Date	3/5/2004
Signature	<i>Tammy L. Hodges</i>		



TRANSMITTAL OF SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.97(b), 1.97(c), or 1.97(d)			Attny. Docket No. 2003U038.US
In Re Application of: Porter C. Shannon et al.			
U.S. Serial No. 10/781,404	Filing Date February 18, 2004	Examiner Unassigned	Group Art Unit Unassigned

Address to:
Mail Stop Non-Fee Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

37 CFR § 1.97(b)

- ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

37 CFR § 1.97(c)

- ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of:

1. a Final Action under § 1.113,
2. a Notice of Allowance under § 1.311, or
3. an action that otherwise closes prosecution in the application,

and is accompanied by either:

- ☐ the fee as set forth in § 1.17(p), or
- ☐ the following statement under § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

37 CFR § 1.97(d)

- ☐ The Information Disclosure Statement submitted herewith is being filed after a Final Action under § 1.113, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is the fee as set forth in § 1.17(p) and the following statement under 37 CFR § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Applicant hereby request consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith.

☒ Legible copies of the references are enclosed.

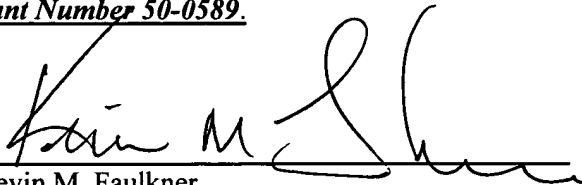
☐ This application is a:
☐ Continuation / Divisional,
☐ Continuation-in-Part,

of U.S.S.N. _____. Copies of the cited references are
☐ enclosed; ☐ not enclosed. References are available in the parent application(s) if not enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment, to Deposit Account Number 50-0589.

3/5/04

Date



Kevin M. Faulkner
Registration No. 45,427
Univation Technologies, L.L.C.
5555 San Felipe, Suite 1950
Houston, Texas 77056-2723
(713) 892-3729 Voice
(713) 892-3687 Facsimile



INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

2003U038.US

SERIAL NO.

10/781,404

APPLICANT

Porter C. Shannon et al.

FILING DATE

02/18/2004

GROUP

Unassigned

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AK							
	AL							

OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)

AM	Peter Fischer, Johannes Wortberg, <i>Single-Screw Extruders and Barrier Screws</i> , Extended Version of a paper presented at the VDI conference on " <i>The Single Screw Extruder - Basics and System Optimization</i> ", published by VDI-Verlag Düsseldorf, 1997 "Kunststofftechnik"
AN	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant